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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No. 5487

First Named Inventor Joseph F. MICHALEC et al.

Filing Date Tuesday, September 25, 2001

Title POLYMERIC PIGMENT DISPERSANT UTILIZED AS A GRIND RESIN FOR PIGMENTS AND METHOD OF PREPARING THE SAME

Express Mail Certificate EK894923961US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application, Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 47]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Application
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Background of the invention
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

☐ Drawing(s) (35 U.S.C.113) [Total Sheets ☐]

☐ Oath or Declaration [Total Sheets ☐]

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR § 1.63(d))
(for continuation/divisional with Box 17 completed)

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR§3.73(b) Statement (when there is an assignee) ☐ Power Of Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/ PTO-1449 ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ other:

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. 09/747,474 and 09/747,472, filed on December 22, 2000

Prior application information: Examiner Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

or ☐ Correspondence address below

26922
PATENT-TRADEMARK OFFICE

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)		33,772
Signature			Date	September 25, 2001	

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FEE TRANSMITTAL		Attorney Docket No.	IN-5487
Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997		First Named Inventor	Joseph F. MICHALEC et al.
		Filing Date	Tuesday, September 25, 2001
		Title	POLYMERIC PIGMENT DISPERSANT UTILIZED AS A GRIND RESIN FOR PIGMENTS AND METHOD OF PREPARING THE SAME
		Express Mail Certificate	EK894923961US

TOTAL AMOUNT OF PAYMENT	\$1,948.00
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METHOD OF PAYMENT	FEE CALCULATION
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to change indicated fees and credit any over payments to:	3. ADDITION FEES
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Deposit Account Number 23-3425 Deposit Account Name BASF Corporation <input checked="" type="checkbox"/> Change Any Additional Fee <input checked="" type="checkbox"/> Charge the Issue Fee Set in 37 CFR § Required Under 37 CFR §§ 1.18 at the Mailing of the Notice of Allowance 2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	<table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge -late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>provisional ailing or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing request for examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petition to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>Petition related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>Submission of information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent Assignment per property (time number of properties)</td><td></td></tr> <tr><td>146</td><td>790</td><td>Filing a submission after final rejection</td><td></td></tr> <tr><td>149</td><td>790</td><td>For each additional invention to be examined (37 CFR 1.129(b)) (specify)</td><td></td></tr> <tr><td>Other</td><td>fee</td><td>Reduced By Basic Fee Paid Filing</td><td></td></tr> </tbody> </table>	Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	Surcharge -late filing fee or oath		127	50	provisional ailing or cover sheet		139	130	Non-English specification		147	2,520	For filing request for examination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month		117	890	Extension for reply within third month		118	1,510	Extension for reply within fourth month		128	2,060	Extension for reply within fifth month		119	310	Notice of Appeal		120	310	Filing a brief in support of an appeal		121	270	Request for oral hearing		138	1,510	Petition to institute a public use proceeding		140	110	Petition to revive-unavoidable		141	1,320	Petition to revive-unintentional		142	1,320	Utility issue fee (or reissue)		143	450	Design issue fee		144	670	Plant issue fee		122	130	Petition to the Commissioner		123	50	Petition related to provisional application		126	240	Submission of information Disclosure Statement		581	40	Recording each patent Assignment per property (time number of properties)		146	790	Filing a submission after final rejection		149	790	For each additional invention to be examined (37 CFR 1.129(b)) (specify)		Other	fee	Reduced By Basic Fee Paid Filing	
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1. BASIC FILING FEE	FEE CALCULATION
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Large Fee Code Entity Fee (\$) 401 710 Utility filing fee \$710.00 306 330 Design filing fee 307 540 Plant filing fee 308 790 Reissue filing fee 114 150 Provisional filing fee SUBTOTAL (2) \$710.00	
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2. EXTRA CLAIM FEES	FEE CALCULATION
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Extra Claims Fee from below Fee Paid Total Claims 71 -20** = 51 x 18 = \$918.00 Independent Claims 07 -3** = 04 x 80 = \$320.00 Multiple Dependent 270 = ** Or number previously paid, if greater; For Reissues, see below Large Fee Code Entity Fee (\$) 103 18 Claims in excess of 20 102 80 Independent claims in excess of 3 104 270 Multiple dependent claims, if not paid 109 82 **Reissue independent claims over original patent 110 22 **Reissue claims in excess of 20 and over original patent SUBTOTAL (2) \$1,238.00	
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18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label <div style="text-align: center;">  26922 PATENT-TRADEMARK OFFICE </div>	or <input type="checkbox"/> Correspondence address below
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Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
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Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772
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Signature	<i>Anne G. Sabourin</i>	Date	September 25, 2001
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PATENT

(Practitioner's Docket No. IN-5487)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Joseph F. MICHALEC
Swaminathan RAMESH
Paul J. HARRIS

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: September 25, 2001

Examiner: Not Assigned

For: POLYMERIC PIGMENT DISPERSANT UTILIZED AS A GRIND RESIN FOR PIGMENTS AND METHOD OF PREPARING THE SAME

Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923961US

Date of Deposit

September 25, 2001

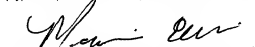
I hereby certify that the following attached paper or fee

<input checked="" type="checkbox"/> Application					
Specification on	<input type="text" value="29"/>	pages;	claims on	<input type="text" value="17"/>	pages;
the abstract on	<input type="text" value="01"/>	page(s);	drawings on	<input type="text" value="01"/>	page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.,

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed